

JPW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Geiss, et al.

Serial No.: 10/711,482

Group Art Unit: 2811

Filed: Sep. 21, 2004

Examiner: Unknown

For: SiGe Heterojunction Bipolar Transistor (HBT) and Method of Fabrication

Assistant Commissioner of Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Under the provisions of 37 CFR §1.97 through §1.99 and pursuant to Applicant's duty of disclosure under 37 CFR §1.56, Applicant respectfully brings the following documents listed on the attached form PTO-1449, to the attention of the Examiner in charge of the above-identified application. A copy of the listed documents are provided herewith for the convenience of the Examiner.

This citation does not constitute an admission that the references are relevant or material to the claims. They are only cited as constituting related art of which the Applicant is aware.

It is respectfully requested that the listed references be considered by the Examiner and formally made of record in this application.

Please charge any deficiencies in fees and credit any overpayment of fees to Attorney's Deposit Account No. 09-0456.

Respectfully submitted,

Anthony J. Canale  
Registration No. 51,526

International Business Machines Corporation  
Intellectual Property Law - Zip 972E  
1000 River Street  
Essex Junction, VT 05452

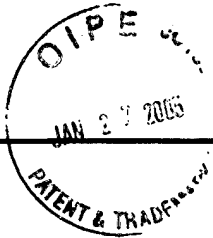
**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**BUR920040004US1**

In Re Application Of: **Peter Geiss, Alvin Joseph, Rajendran Krishnasamy, Xuefeng Liu**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
<b>10/711,48</b>	<b>Sep. 21, 2004</b>		<b>24241</b>	<b>2811</b>	<b>5481</b>

Title: **SiGe Heterojuncton Bipolar Transistor (HBT) and Method of Fabrication**



Address to:  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
**BUR920040004US1**

In Re Application: **Peter Geiss, Alvin Joseph, Rajendran Krishnasamy, Xuefeng Liu**

Application No. <b>10/711,48</b>	Filing Date <b>Sep. 21, 2004</b>	Examination Date <b>Jan 27 2005</b>	Customer No. <b>24241</b>	Group Art Unit <b>2811</b>	Confirmation No. <b>5481</b>
-------------------------------------	-------------------------------------	--	------------------------------	-------------------------------	---------------------------------

Title: **SiGe Heterojunction Bipolar Transistor (HBT) and Method of Fabrication**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **09-0456** as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on

**Jan 21 2005**

\_\_\_\_\_  
(Date)

**Patricia J. Con**  
Signature of Person Mailing Correspondence

**Patricia J. Con**  
Typed or Printed Name of Person Mailing Certificate

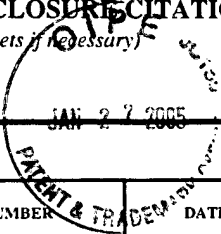
**\*This certificate may only be used if paying by deposit account.**

**Anthony G. Canale**  
Signature

Dated: **01/21/2005**

CC:

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>BUR920040004US1</b>		Application Number <b>10/711,482</b>	
				Applicant(s) <b>P. Geiss, A. Joseph, R. Krishnasamy, X. Liu</b>			
				Filing Date <b>Sep. 21, 2004</b>		Group Art Unit <b>2811</b>	



U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,656,514A	08/12/1997	Ahlgren et al.			

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS			(Including Author, Title, Date, Pertinent Pages, Etc.)
		Zhao et al., "Analysis and Simulation of the Performance of Si/SiGe HBTs and Monolithic Integrated Preamplifiers of Photoreceivers", Proceedings of the PSPIE (International Society for Optical Engineering) Conference, September 18-19, 1998, Vol. 3551, pp. 95-102.	

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.